PTO/SB/05 (01-04)
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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	1735.0560002/RWE/RAS
First Inventor	CAI et al.
Title	See 1 in Addendum
Express Mail Label No.	

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. [X] Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. [] Applicant claims small entity status. See 37 CFR 1.27.
3. [X] Specification [*Total Pages* 76]
(preferred arrangement set forth below)
- Descriptive title of the invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings *(if filed)*
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

4. [X] Drawing(s) (*35 U.S.C. 113*) [*Total Sheets* 2]
5. Oath or Declaration [*Total Sheets* 3]
a. [] Newly executed (original or copy)
b. [X] Copy from a prior application (37 CFR 1.63(d)) *(for continuation/divisional with Box 18 completed)*
i. [] DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) name in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. [X] Application Data Sheet. See 37 CFR 1.76
7. [] CD-ROM or CD-R in duplicate, large table or Computer Program *(Appendix)*
8. Nucleotide and/or Amino Acid Sequence Submission *(if applicable, all necessary)*
a. [] Computer Readable Form (CRF)
b. Specification Sequence Listing on:
i. [] CD-ROM or CD-R (2 copies); or
ii. [] Paper
c. [] Statements verifying identity of above copies

ADDRESS TO:

Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria VA 22313-1450

ACCOMPANYING APPLICATION PARTS

9. [] Assignment Papers (cover sheet & document(s))
10. [X] 37 CFR 3.73(b) Statement *(when there is an assignee)* [X] Power of Attorney
11. [] English Translation Document *(if applicable)*
12. [] Information Disclosure Statement (IDS)/PTO-1449 [] Copies of IDS Citations
13. [X] Preliminary Amendment
14. [X] Return Receipt Postcard (MPEP 503) *(Should be specifically itemized)*
15. [] Certified Copy of Priority Document(s) *(if foreign priority is claimed)*
16. [] Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. [X] Other: Authorization under 37CFR 1.136(a)(3)
The name of the assignee is: Cytovia, Inc.

18. If a CONTINUING APPLICATION, *check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76:*

[] Continuation [X] Divisional [] Continuation-in-part (CIP) of prior application No.: 10/141,769

Prior application information: *Examiner* Morris, Patricia L. *Art Unit:* 1625

For CONTINUATION OF DIVISIONAL APPS only; The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

[X] Customer Number: **26111** *OR* [] Correspondence address below

Name					
Address					
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Country		*Telephone*		*Fax*	

Name (Print/Type)	Robert A. Schwartzman, Ph.D.	*Registration No. (Attorney/Agent)*	50,211
Signature		*Date*	April 5, 2004

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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13281 U.S. PTO
040504

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*Admitted only in Maryland
+Admitted only in Virginia
•Practice Limited to Federal Agencies

April 5, 2004

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INTERNET ADDRESS:
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Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

Mail Stop Patent Application

Re: U.S. Non-Provisional Utility Patent Application under 37 C.F.R. § 1.53(b)
(Divisional of Appl. No. 10/141,769; filed May 10, 2002)
Appl. No. *To be assigned*; Filed: *Herewith* (April 5, 2004)
For: **Substituted N'-(Arylcarbonyl)-Benzhydrazides, N'-(Arylcarbonyl) -Benzylidene-Hydrazides and Analogs As Activators of Caspases and Inducers of Apoptosis and The Use Thereof**
Inventors: CAI *et al.*
Our Ref: 1735.0560002/RWE/RAS

Sir:

The following documents are forwarded herewith for appropriate action by the U.S. Patent and Trademark Office:

1. PTO Utility Patent Application Transmittal (Form PTO/SB/05);

2. Authorization to Treat a Reply As Incorporating An Extension of Time Under 37 C.F.R. § 1.136(a)(3);

3. Credit Card Payment Form (PTO-2038);

4. PTO Fee Transmittal (Form PTO/SB/17);

5. U.S. Utility Patent Application entitled:

Substituted N'-(Arylcarbonyl)-Benzhydrazides, N'-(Arylcarbonyl)-Benzylidene-Hydrazides and Analogs As Activators of Caspases and Inducers of Apoptosis and The Use Thereof

and naming as inventors:

Sui Xiong CAI
Shailaja KASIBHATLA
John DREWE
P. Sanjeeva REDDY
Han-Zhong ZHANG

the application consisting of:

a. An Application Data Sheet (37 C.F.R. § 1.76);

b. A specification containing:

i. 55 pages of description prior to the claims;

ii. 20 pages of claims (79 claims);

iii. a one (1) page abstract;

c. 2 sheets of drawings: (Figs. 1A-1B and Fig. 2);

d. One page of a paper copy of a sequence listing;

e. A copy of the executed Declaration, as originally filed in U.S. Appl. No. 10/141,769;

f. A copy of the executed Power of Attorney from Assignee;

g. A copy of the executed Certificate Under 37 C.F.R. § 3.73(b) with a copy of the Assignment attached;

6. A computer readable copy of the sequence listing;

7. Preliminary Amendment; and

8. Two (2) return postcards.

It is respectfully requested that, of the two attached postcards, one be stamped with the filing date of these documents and returned to our courier, and the other, prepaid postcard, be stamped with the filing date and unofficial application number and returned as soon as possible.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

Robert A. Schwartzman, Ph.D.
Agent for Applicants
Registration No. 50,211

RAS/law
Enclosures

248654.1

PTO/SB/17 (10-03)
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13281 U.S.PTO 040504

FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT ($) 737.00

Complete if Known	
Application Number	*To be assigned*
Filing Date	April 5, 2004
First Named Inventor	Sui Xiong CAI
Examiner Name	*To be assigned*
Art Unit	*To be assigned*
Attorney Docket No.	1735.0560002/RWE/RAS

METHOD OF PAYMENT *(check all that apply)*

☐ Check ☒ Credit card ☐ Money Order ☒ Other** ☐ None

☐ **Charge any deficiencies or credit any overpayments in Deposit Account: *the fees to Deposit Acct. No. 19-0036.*

Deposit Account Number: 19-0036

Deposit Account Name: Sterne Kessler, Goldstein & Fox P.L.L.C.

The Director is authorized to: *(check all that apply)*

☐ Charge fee(s) indicated below ☐ Credit any overpayments

☐ Charge any additional fee(s) or any underpayment of fee(s)

☐ Charge fee(s) indicated below, **except for the filing fee** to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code	Large Entity Fee ($)	Small Entity Fee Code	Small Entity Fee ($)	Fee Description	Fee Paid
1001	770	2001	385	Utility filing fee	385.00
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	

SUBTOTAL (1) ($) 385.00

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

			Extra Claims		Fee from below	=	Fee Paid
Total Claims	43	-20 ** =	23	X	9	=	207
Independent Claims	2	-3 ** =		X		=	-0-
Multiple Dependent					145	=	145

Large Entity Fee Code	Large Entity Fee ($)	Small Entity Fee Code	Small Entity Fee ($)	Fee Description
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	43	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) ($) 352.00

***or number previously paid, if greater; For Reissues, see above*

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code	Large Entity Fee ($)	Small Entity Fee Code	Small Entity Fee ($)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for *ex parte* reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	2809	385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) ($) -0-

SUBMITTED BY				(Complete *(if applicable)*)	
Name *(Print/Type)*	Robert A. Schwartzman, Ph.D.	Registration No. *(Attorney/Agent)*	50,211	Telephone	(202) 371-2600
Signature				Date	April 5, 2004

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:
CAI *et al.*
Appl. No.: *To be assigned*
Filed: *Herewith* (April 5, 2004)
For: **Substituted N'-(Arylcarbonyl)-Benzhydrazides, N'-(Arylcarbonyl)-Benzylidene-Hydrazides and Analogs As Activators of Caspases and Inducers of Apoptosis and The Use Thereof**

Confirmation No.: *To be assigned*
Art Unit: *To be assigned*
Examiner: *To be assigned*
Atty. Docket: 1735.0560002/RWE/RAS

Authorization to Treat a Reply as Incorporating an Extension of Time Under 37 C.F.R. § 1.136(a)(3)

Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

Sir:

The U.S. Patent and Trademark Office is hereby authorized to treat any concurrent or future reply that requires a petition for an extension of time under this paragraph for its timely submission, as incorporating a petition for extension of time for the appropriate length of time. The U.S. Patent and Trademark Office is hereby authorized to charge all required extension of time fees to our Deposit Account No. 19-0036, if such fees are not otherwise provided for in such reply.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

Robert A. Schwartzman, Ph.D
Agent for Applicants
Registration No. 50,211

Date: April 5, 2004

1100 New York Avenue, N.W.
Washington, D.C. 20005-3934
(202) 371-2600
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Addendum

1. Substituted N'-(Arylcarbonyl)-Benzhydrazides, N'-(Arylcarbonyl)-Benzylidene-Hydrazides And Analogs As Activators Of Caspases And Inducers Of Apoptosis And The Use Thereof